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PATENT  
17243-00019RECEIVED  
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Technology Center 2100

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Ronald Kubick

GroupArt Unit: 2176

Serial No. 09/861,392 09/681,392

Examiner:

Filed: March 28, 2001

For: METHODS AND SYSTEMS FOR  
CONDUCTING DUE DILIGENCE

## CERTIFICATE OF MAILING

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on July 27, 2001.

John S. Beutick  
John S. Beutick, Reg. No. 33,338

## INFORMATION DISCLOSURE STATEMENT

1. ☒ Pursuant to 37 CFR 1.97(b)  
[within 3 months of filing or prior to 1st Office Action]
2. ☐ Certification Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]
3. ☐ Fee Payment Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]
4. ☐ Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97 (d)  
[before Issue Fee payment]

Hon. Commissioner for Patents  
Washington, D.C. 20231

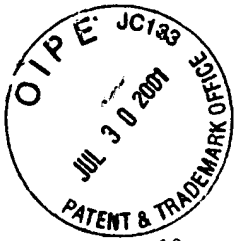
Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 &amp; 1.98:

5. ☒ A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

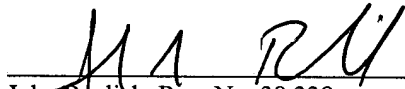
This Paper is submitted in accordance with:

6. ☒ 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
7. ☐ 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
8. ☐ The required certification made in item 11 below; or



9. — The \$180 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
10. — 37 CFR 1.97(d): [before issue fee payment]; and
- a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention GROUP DIRECTOR, and if applicable include batch locator information: e.g., "Allowed Files, Batch \_\_\_\_\_, Date of Allowance \_\_\_\_\_"), and
- b) The required Certification is stated in item 11 below.
11. — Certification
12. — Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
13. — No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
14. ☒ Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 01-2384. An original and two copies of this document is enclosed.

Respectfully submitted,

  
John Beulick, Reg. No. 38,338  
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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>	
		Application Number	09,681,392
		Filing Date	March 28, 2001
		First Named Inventor	Ronald Kubick
		Group Art Unit	2176
Examiner Name			
Attorney Docket Number	17243-00019		
Sheet	1	of	1

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	6,208,979		Sinclair	March 27, 2001	
	AB	6,192,347		Graff	February 20, 2001	
	AC	5,991,751		Rivette et al.	November 23, 1999	
	AD	5,991,743		Irving et al.	November 23, 1999	
	AE	5,987,434		Libman	November 16, 1999	
	AF	5,970,464		Apte et al.	October 19, 1999	
	AG	5,966,700		Gould et al.	October 12, 1999	
	AH	5,940,811		Norris	August 17, 1999	
	AI	5,911,131		Vig	June 8, 1999	
	AJ	5,873,066		Underwood et al.	February 16, 1999	
	AK	5,857,174		Dugan	January 5, 1999	
	AL	5,809,478		Greco et al.	September 15, 1998	
	AM	5,704,045		King et al.	December 30, 1997	
	AN	5,696,907		Tom	December 9, 1997	
	AO	5,636,117		Rothstein	June 3, 1997	
	AP	5,344,132		LeBrun et al.	September 6, 1994	
	AQ	5,584,025		Keithley et al.	December 10, 1996	
	AR	5,191,525		LeBrun et al.	March 2, 1993	
	AS	4,975,840		DeTore et al.	December 4, 1990	
	AT					

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	FA							
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Examiner Signature

Date Considered:

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<sup>1</sup>Unique citation designation number. <sup>2</sup>See Attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WSIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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